

UTAH DEPARTMENT OF COMMERCE
Division of Securities

COMPLAINT FORM

Information About This Form and the Utah Division of Securities

1. You may type or print on this form, but please make your responses legible.
2. It's important for you to fill out each block of this form so that we can fully evaluate your complaint. If a particular block doesn't apply to your situation, please indicate so by placing an "N/A" (i.e., not applicable) in the appropriate space.
3. If you need additional space for any of your responses, please use the continuation blocks provided on page 8 of this complaint form.
4. Please attach copies of all documents relevant to your complaint -- for example: cancelled checks (both sides), contracts, correspondence, prospectuses, sales brochures, etc.
5. We will treat your complaint as confidential. However, please be advised that under current Utah law your complaint will be subject to release to members of the public under certain circumstances. If you have any questions about this matter, please contact the Division's Records Officer.
6. When you have completed this form, please mail it (along with any attachments) to: Utah Division of Securities, Box 146760, Salt Lake City, Utah 84114-6760. If you wish to contact the office by phone, our number is: (801) 530-6600. Our FAX number is (801) 530-6980. Our office is open for your inquiries Monday through Friday (except legal holidays), 8:00 a.m. to 5:00 p.m., Mountain Time.
7. Please be advised that the Division will not act as your attorney for purposes of recovering a lost investment. Any person who has lost money as the victim of an unlawful securities transaction should immediately contact his or her personal attorney about the possibility of bringing a lawsuit to recover lost funds. If your case involves a violation of the Utah Uniform Securities Act, Utah Code Annotated § 61-1-1 et seq., as amended, you may be able to bring a civil action under § 61-1-22 of the Act to recover your lost funds (with 12% interest) and reasonable attorney's fees.

BLOCK A: INFORMATION ABOUT YOU

Block A(1) -- Your Name

Last Name / First Name / Middle Initial

Block A(2) -- Your Home Address

Street Address / City and State / Zip Code

Block A(3) -- Your Phone Numbers

Area Code and Home Phone Number / Area Code and Business Phone Number

BLOCK B: INFORMATION ABOUT YOUR INVESTMENT

Block B(1) -- Nature of Investment. In your own words, briefly state what kind of an investment you bought or thought you were buying. For example: a stock; a bond; a note; an investment contract; a limited partnership; an oil, gas, or mining title or lease; a commodity contract or commodity option, etc. If you're not sure what kind of security (if any) you were offered, please state so. Please also state how many shares, items, units, etc., you bought or thought you were buying.

Block B(2) -- Person Making Initial Contact. What is the name, address, and phone number(s) of the person who initially contacted you about your investment?

Last Name / First Name / Middle Initial

Street Address / City and State / Zip Code

Area Code and Home Phone Number / Area Code and Business Phone Number

Any Title And/Or Company Name Used By This Person

Block B(3) -- Form Of Initial Contact. How were you initially contacted about your investment by the person identified in Block B(2) above? Check one of the following:

☐ By phone ☐ By mail ☐ By telegram ☐ By Fax ☐ In person ☐ Other

If Other, explain below:

Block B(4) -- Where Contact Originated. If you were initially contacted by phone, mail, telegram or fax about your investment, by the person identified in Block B(2), do you know from where the message originated? If so, please give this information below.

City / State or Province / Country

Block B(5) -- Date Of Contact. On what date did the person identified in Block B(2) initially contact you?

(mm/dd/yy): ____ / ____ / 19____

Block B(6) -- Place of Contact. Where were you when initially contacted by the person identified in Block B(2) about your investment? Give the location below.

City / State or Province / Country

Block B(7) -- Payment For Investment. How much did you pay for your investment (if anything) and in what form did you tender payment? Check one of the following.

☐ Cash ☐ Check ☐ Money order ☐ Wire transfer ☐ Trade ☐ Other

Amount (in U.S. Dollars): \$ _____

Block B(8) -- To Whom Payment Was Made. To whom did you make payment for your investment? On what date did you make payment? Where was the payment made or sent to (if made by wire transfer or mailed)?

Block B(9) -- Other Contacts. In connection with your investment, have you been contacted by any other person or office? If so, please give specifics below.

In the space provided below, please explain why you've made this complaint to the Utah Division of Securities. To help organize your thoughts, answer the following two questions: (1) What was the investment deal you made or thought you made?; and (2) If you think you have been treated unfairly as a result of this deal, why do you feel that way? Please give full details of who, what, when, where, why, and how. Try to write down the exact words of persons identified in Block B(2) and B(9). It's better to give too much detail than too little. Please feel free to continue your response on page 8 of this complaint form, if necessary.

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

BLOCK D: WITNESS(ES) TO YOUR STORY

Do you know of any witness(es) who can verify any of the information you've provided in Block C of this complaint? If so, please provide their names, addresses, and phone numbers below. Also indicate what information they can provide to the Division and whether they were present when the person(s) identified in Blocks B(2) and B(9) spoke with you about your investment.

BLOCK E: OTHER VICTIMS.

Do you know of any others who have been victimized in an investment transaction involving persons identified in Blocks B(2) and B(9) of this complaint? If so, please give their names, address, and telephone numbers below.

BLOCK F: SELF-HELP

Block F(1) -- Complaints To Other Agencies. In connection with the subject matter of this complaint, have you contacted any other state or federal agency? If so, please give this information below.

Agency Name / Person Contacted / Phone Number

Block F(2) -- Private Legal Action. In connection with the subject matter of this complaint, have you commenced a lawsuit against any person? If so, please give this information below.

Defendant's Full Name / Court Where Filed / Docket Number

Your Attorney's Name / Law Office Phone Number

Certification

BY SIGNING BELOW, I certify that the information I've provided in this complaint is true to the best of my knowledge. If the Division of Securities determines that the subject matter of this complaint is more appropriately within the jurisdiction of another agency of the State of Utah, or an agency of the U.S. Government, I hereby grant permission to the Division to forward this complaint to that agency for any action it deems appropriate.

Complainant's Signature / Date

[Continuation blocks are provided on the reverse side of this page]

Continuation Blocks

The following is a continuation of Block _____:

The following is a continuation of Block _____:
